

STATE OF LOUISIANA LEGISLATIVE AUDITOR

Governor's Office of Women's Services
Baton Rouge, Louisiana

March 2002



Performance Audit

Daniel G. Kyle, Ph.D., CPA, CFE
Legislative Auditor

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Governor's Office of Women's Services

March 2002



**Performance Audit
Office of the Legislative Auditor
State of Louisiana**

**Daniel G. Kyle, Ph.D., CPA, CFE
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March 15, 2002

The Honorable John J. Hainkel, Jr.,
President of the Senate
The Honorable Charles W. DeWitt, Jr.,
Speaker of the House of Representatives

Dear Senator Hainkel and Representative DeWitt:

This performance audit report gives the results of our performance audit of the Governor's Office of Women's Services. We conducted this audit at the request of the Performance Review Subcommittee of the Joint Legislative Committee on the Budget.

This report contains our findings, conclusions, and recommendations. We have also included a matter for legislative consideration. Appendix D includes the response of the Governor's Office of Women's Services. I hope this report will benefit you in your legislative decision-making process.

Sincerely,

A handwritten signature in black ink, appearing to read "Daniel G. Kyle", is written over a large, stylized capital "D".

Daniel G. Kyle, CPA, CFE
Legislative Auditor

DGK/dl

[OWS02]



Office of Legislative Auditor

Performance Audit Governor's Office of Women's Services Executive Summary

We conducted this performance audit of the Governor's Office of Women's Services (OWS) at the request of the Performance Review Subcommittee of the Joint Legislative Committee on the Budget. The results of this performance audit are as follows:

Training Programs and Activities Currently Conducted by OWS *(See page 3 of the report and Appendix B.)*

- In fiscal year 2001, OWS spent over \$6 million in state and federal funds to provide training and other services. As of February 1, 2002, OWS has spent, in fiscal year 2002, over \$3.3 million in state and federal funds.

Agencies/Entities That Duplicate OWS Programs/Services *(See pages 4 through 5 of the report.)*

- OWS and technical and proprietary colleges all provide non-traditional and computer/clerical training.
- OWS provides workshops, staff development, and clearinghouse services at the One-Stops. However, the One-Stops have the necessary resources to provide these services.
- The OWS Medicaid Enrollment Program duplicates the services provided by the Department of Health and Hospitals Medicaid Office.
- OWS, the Louisiana Commission on Law Enforcement, and the Department of Social Services all provide funding for programs that serve family violence victims.

Expectations and Deliverables Under the Fiscal Year 2001 LDOL/OWS Contract *(See pages 6 through 10 of the report.)*

- OWS was to provide computer/clerical and non-traditional training. By the end of the fiscal year 2001 contract period, 30 OWS employees had trained 90 computer/clerical and non-traditional enrollees. Seventy-three were placed in jobs, resulting in a cost of \$13,820 per enrollee and \$17,038 per placed enrollee.
- The salary range for all participants placed in jobs is between \$5.25 and \$11.50 per hour with an average salary of \$7.45 per hour. Participants were placed in jobs at such establishments as Sears, Foot Locker, Wal-Mart, Casino Magic, Pop-a-Lock, and Pro Clean (a laundromat).

Accounting Irregularities With the Fiscal Year 2001 Contract *(See pages 10 through 13 of the report.)*

- An instructor's salary that was paid with Workforce Investment Act (WIA) funds provided training to participants of a state-funded program.
- WIA funds were used to reimburse OWS for over \$20,700 in termination pay for eight employees during the contract period. However, we found OWS probably should have only been reimbursed \$6,500.
- OWS spent \$480,000 in training funds while it had no students (74% went for salaries). Also, OWS had to use other funding sources to cover its expenditures because it did not receive WIA funding until February 2001.

Deliverables Under the Fiscal Year 2002 LDOL/OWS Contract (as of February 1, 2002). *(See pages 15 through 17 of the report.)*

- As of February 1, 2002, OWS had spent \$433,195 and enrolled 54 participants under the fiscal year 2002 contract, resulting in an average cost per enrolled participant of \$8,022. Twenty-five participants have completed training and seven have been placed in jobs. OWS has also provided 16 One-Stop staff development sessions and workshops for 243 participants.

Performance Indicators as Reported in the Louisiana Performance Accountability System (LaPAS) *(See pages 18 through 20 of the report.)*

- OWS' performance indicators for fiscal years 2001 through 2002 are valid.
- Performance indicators for fiscal years 2000 through 2002 have not been consistently reported in LaPAS.
- Values for 39% of the fiscal year 2001 performance indicators reported in LaPAS were not reliable in any quarter for which they were reported.

Introduction

Audit Initiation and Objectives

The Performance Review Subcommittee of the Joint Legislative Committee on the Budget requested that the Legislative Auditor investigate certain issues related to the contract (for training displaced homemakers) between the Governor's Office of Women's Services (OWS or the office) and the Louisiana Department of Labor (LDOL). This contract provided for OWS to train displaced homemakers in conjunction with the local Workforce Investment Act (WIA) areas during fiscal year 2001. During this audit, we answered the following questions:

- 1. What training programs and activities are currently conducted by OWS?**
- 2. Are there any other agencies/entities that duplicate OWS programs/services?**
- 3. What are the events that led up to the execution of the fiscal year 2001 LDOL/OWS contract?**
- 4. What was expected and delivered under the fiscal year 2001 LDOL/OWS contract?**
- 5. Were there any accounting/monitoring irregularities associated with the fiscal year 2001 LDOL/OWS contract?**
- 6. What is expected under the fiscal year 2002 LDOL/OWS contract?**
- 7. What has been delivered year to date (as of February 1, 2002) under the fiscal year 2002 LDOL/OWS contract?**
- 8. What projections can be made regarding OWS performance under the LDOL/OWS contract for the end of fiscal year 2002?**
- 9. Are OWS' performance indicators valid, consistent, and reliable?**

Appendix A contains our audit scope and methodology. Appendix D contains OWS' response.

Background

Purpose. Louisiana Revised Statute (R.S.) 46:2521 creates OWS within the Office of the Governor. For budgetary purposes, OWS is comprised of four programs - Administrative, Training, Displaced Homemakers, and Family Violence. OWS provides services at its sites in Baton Rouge, New Orleans, Lake Charles, Alexandria, Lafayette, and Shreveport. According to R.S. 46:2523, the office is basically responsible for the following:

- Maintaining a statewide network of shelters and counseling services
- Developing non-traditional job training programs geared to economic self-sufficiency and to low-income women
- Developing programs designed to educate and retrain women displaced from work in the home due to death or divorce from a spouse

Expenditures. During fiscal year 2001, OWS spent a total of \$6,222,302 in state and federal funds to provide services through the activities listed below.

- Administrative
- Highway/Bridge Training and Employment Program
- Non-Traditional Training and Employment Program
- Computer/Clerical Training and Employment Program (now called Computer Skills Enrichment Program)
- Displaced Homemakers Program (now called Women Work! Louisiana)
- Medicaid Enrollment (arrangement with Department of Health and Hospitals)
- Family Violence

As of January 31, 2002, OWS had spent \$3,388,090 on these programs, in fiscal year 2002, including a new Temporary Assistance for Needy Families (TANF) Family Violence Program and a TANF Microenterprise Program.

Staffing. OWS had as many as 53 filled positions during fiscal year 2001. As of February 21, 2002, it had 49 filled positions.

One-Stop Career Centers. OWS currently works with the local One-Stop Career Centers to receive training referrals and to provide workshops and staff development. There are 20 One-Stops in Louisiana. LDOL oversees the one-stop system. These centers provide resources that allow employers to recruit potential employees and employees to find jobs. For example, the centers provide access to the Louisiana Works Website (i.e., listing of job opportunities). Individuals that need extensive training to be

placed in a job are assessed and given the opportunity to choose from a list of available training providers.

Overview of OWS Services

What training programs and activities are currently conducted by OWS?

Exhibit 1 lists all programs and activities that OWS conducts. This exhibit presents funding sources, fiscal year 2001 expenditures, and fiscal year 2002 expenditures as of February 1, 2002. Appendix B contains a detailed description of each program and its activities.

Exhibit 1 Overview of OWS Programs and Activities Fiscal Years 2001 and 2002 (as of 02/01/02)			
Program/Activity	Funding Source	Fiscal Year 2001 Expenditures	Fiscal Year 2002 Expenditures (as of February 1, 2002)
Administrative	State General Fund	\$474,349	\$301,911
Highway/Bridge Training and Employment Program	Department of Transportation and Development	294,249	85,766
Non-Traditional Training and Employment Program Computer Skills Enrichment Program **	Workforce Investment Act (WIA) Funds	1,243,767	433,195
Women Work! Louisiana	State General Fund	419,778	300,088
Medicaid Enrollment Program	Reimbursement from Department of Health and Hospitals	37,724	11,803
Family Violence	State and Federal Funds	3,752,435	1,831,114
Temporary Assistance for Needy Families (TANF) - Family Violence	TANF Funds	*	375,221
TANF - Microenterprise	TANF Funds	*	48,992
Totals	----	\$6,222,302	\$3,388,090

*Program is new for fiscal year 2002.

** Expenditure information provided by OWS was not broken out by program. These programs fall under the contract between LDOL and OWS. The 2002 amount includes activities conducted with the One-Stops.

Source: Prepared by legislative auditor's staff from information obtained from OWS staff.

Are there any other agencies/entities that duplicate OWS programs/services?

We found that there were other agencies/entities that provide similar services as OWS. The following discusses areas of duplication between OWS and other agencies/entities.

Non-Traditional Training/Computer Skills Enrichment Program. OWS and the technical and proprietary colleges provide non-traditional and computer training. According to OWS personnel, the main difference between OWS training and a technical college's training is program length (i.e., technical college programs are approximately six to 12 months in length whereas the OWS non-traditional program is 12 weeks in length and the computer training program is only 40 hours). OWS officials believe that a strength of their non-traditional program is its short length.

One-Stop Career Center Services (e.g., workshops, staff training/development sessions, clearinghouse services). In addition to training, as part of the 2002 LDOL/OWS contract, OWS performs the following activities at the One-Stops:

- Provides job readiness workshops for the One-Stops in areas where OWS is located
- Trains one-stop staff to provide these workshops in areas where OWS is not located
- Provides the One-Stops with resources for displaced homemakers and women who lack self-sufficiency

From our site visits, we found that the one-stop career center already provided similar services.

Medicaid Enrollment Program. The OWS Medicaid Program assists women and the elderly to fill out their Medicaid enrollment forms. According to OWS, Medicaid enrollment services are provided at the Baton Rouge and Lake Charles sites. This program duplicates services provided by the DHH Medicaid Office, which in Baton Rouge is located directly across the street. OWS personnel stated that the DHH Medicaid Office deals only with determining eligibility and processing applications. However, we found that the DHH Medicaid Office will provide the same assistance.

Family Violence. OWS disburses state general funds, marriage license and civil fees, and federal Family Violence Prevention and Service Act grant funds to 19 community-based shelters for the victims of family violence. We found that the Louisiana Commission on Law Enforcement (LCLE) also within the Office of the Governor and the Office of Community Support within the Department of Social Services (DSS) also fund shelters for family violence victims.

The LCLE administers grant applications for funds provided by the Justice Improvement Act of 1979. The grant funds for family violence victims' shelters are obtained from two federal grants, specifically the Violence Against Women Act of 1994 (VAWA) and the Victims of Crime Act of 1984 (VOCA). The DSS administers the Emergency Shelters Block Grant Program, which provides money for local homeless shelters. According to the DSS Website, local homeless shelters can include shelters established for special needs, such as family violence victims.

In our performance audit *Analysis of Overlap, Duplication and Fragmentation Across Executive Branch Departments* dated April 2000, we found that funding for battered women's programs/shelters is administered by at least three separate agencies. No single agency is responsible for monitoring and transferring funds to the local shelters, and because fund recipients must go to several different agencies to obtain funding, the overall funding of such programs is fragmented. Moreover, because these three agencies perform such similar services, the state is spending more in administrative costs (e.g., staff salaries) than is necessary. We found that several providers that received funding from OWS also receive funding from LCLE and DSS.

Matter for Legislative Consideration: The legislature may wish to consider whether to continue providing these services through the OWS for the following reasons:

- Similar entities such as state technical colleges provide non-traditional and computer training.
- One-Stops already provide many of the services such as job readiness workshops and clearinghouse materials such as web links.
- The DHH Medicaid Office assists persons with Medicaid enrollment.
- Family violence programs should be consolidated into one agency to reduce unnecessary administrative costs and potentially increase the amount going to the shelters.

Fiscal Year 2001 LDOL/OWS Contract

What are the events that led up to the execution of the fiscal year 2001 LDOL/OWS contract?

We prepared a chronology of the events that led up to the fiscal year 2001 LDOL/OWS contract. Because of its length, Appendix C contains this chronology. We have also included other events that may be significant but occurred after the contract's extension.

What was expected and delivered under the fiscal year 2001 LDOL/OWS contract?

The fiscal year 2001 LDOL/OWS contract was extended an additional three months to September 30, 2001. According to the contract, OWS was expected to provide comprehensive training services to displaced homemakers in six locations (sites): Baton Rouge, New Orleans, Lake Charles, Lafayette, Shreveport, and Alexandria. These sites were to offer computer/clerical and/or non-traditional training programs to eligible participants.

We did not get a clear understanding of whether all participants were actually displaced homemakers or what the characteristics/definition of a displaced homemaker is. The 2001 LDOL/OWS contract definition differs greatly from the definition in state law (shown at right).

After interviewing staff at OWS and the One-Stop Career Centers, we were unsure as to the standard definition used by all those involved in this contractual relationship.

Individual Training Accounts (ITAs). During the 2001 LDOL/OWS contract, participants that selected OWS as their training provider went to OWS directly as displaced homemakers or received an ITA from the One-Stop. The One-Stops set up ITAs on behalf of each participant to finance training services.

Participants work with a case manager to select a training provider. Since OWS contracts directly with LDOL to provide training, OWS could not also accept the ITAs. However, 57 participants were sent to OWS with ITAs under the 2001 contract. OWS reimbursed LDOL \$132,000 for those participants who had ITAs. Thus, all participants received training under the 2001 LDOL/OWS contract.

"Displaced homemakers are unemployed and single heads of households who need retraining due to obsolete skills or need basic training to enter the job market."--*per contract*

The term "**displaced homemaker**" means an individual who (a) has worked in the home for a substantial number of years providing unpaid household services for family members; (b) is not gainfully employed; (c) has difficulty in securing employment; and (d) was dependent on the income of another family member, but is no longer supported by such income, or was depending on federal assistance but is no longer eligible for such assistance and is presently not receiving such assistance or support.

--R.S. 46:1993(1)

Computer/Clerical Training and Employment Program. According to the contract, OWS was to provide highly individualized training to participants in the clerical training program. Enrollees were to have options in basic and advanced clerical training, as well as customer service, computerized accounting, and medical coding and billing. Also, training courses would include employment preparation. The contract stipulated that Shreveport, Lafayette, and Baton Rouge sites were to host clerical training programs.

Non-Traditional Training and Employment Program. Through the non-traditional training program, OWS was expected to prepare women for blue-collar occupations with a focus on industrial entry-level positions. According to the contract, participants trained in this program should be able to obtain employment in fields such as driver, utility operator, aircraft mechanic, production worker, warehouse worker, plant operator, and thermal protection worker. The contract stipulated that Alexandria, Baton Rouge, Lake Charles, and New Orleans sites were to host non-traditional training programs.

Other Services. In addition to the basic elements of the computer/clerical and non-traditional training programs, other services provided at these sites included physical fitness classes, counseling, job placement, and access to a nationally accredited self-empowerment course (i.e., Survival Skills for Women).

Performance Standards. The fiscal year 2001 LDOL/OWS contract presents eight performance standards with percentages reflecting required performance. Exhibit 2 lists these performance standards and required performance.

Exhibit 2 Performance Standards Presented in Fiscal Year 2001 Contract	
Dislocated Worker Indicators	Required Performance
Dislocated Worker Entered Employment Rate	72%
Dislocated Worker Employment Retention Rate	85%
Dislocated Worker Earnings Replacement Rate	97%
Dislocated Worker Employment and Credential Rate	45%
Entered Employment in Non-Traditional Occupation (Non-Traditional Training)	85%
Entered Employment in Non-Traditional Occupation (Clerical Training)	60%
Participant Customer Satisfaction	68%
Employer Customer Satisfaction	68%

Source: Prepared by legislative auditor's staff using the FY 2001 LDOL/OWS contract.

Deliverables--Computer/ Clerical Training and Employment Program. According to OWS records, OWS provided computer/clerical training at three of its sites--Baton Rouge, Lafayette, and Shreveport. In fiscal year 2001, 60 participants received this training. Of the 60 enrollees, 56 (93%) completed the Computer/Clerical Training and Employment Program and 47 (78%) were placed in jobs. Exhibit 3 on the following page illustrates each site's performance and contrasts it to the number of OWS staff at each site. The required performance for the indicator *Entered Employment in Non-Traditional Occupation (Clerical Training)* is 60%. We found that OWS placed 78% of its enrollees

in jobs, which exceeds the standard. However, the number of enrollees and those placed in jobs is low.

Exhibit 3 Computer/Clerical Training--Fiscal Year 2001	
OWS Staff Per Site	Enrollment Per Site
Baton Rouge - 4 employees <ul style="list-style-type: none"> ▪ 1 Site Manager ▪ 1 Job Developer ▪ 1 Instructor ▪ 1 Office Coordinator I 	13 enrollees <ul style="list-style-type: none"> ▪ 9 completed training ▪ 4 dropped out ▪ 8 placed in job
Lafayette - 4 employees <ul style="list-style-type: none"> ▪ 1 Regional Manager ▪ 1 Job Developer ▪ 1 Instructor ▪ 1 Paraeducator (Teacher's Aide) 	26 enrollees <ul style="list-style-type: none"> ▪ 26 completed training ▪ 0 dropped out ▪ 23 placed in jobs
Shreveport - 4 employees <ul style="list-style-type: none"> ▪ 1 Regional Manager ▪ 1 Job Developer ▪ 2 Instructors 	21 enrollees <ul style="list-style-type: none"> ▪ 21 completed ▪ 0 dropped out ▪ 16 placed in jobs
Total OWS Employees: 12	Total Enrollees: 60

Source: Prepared by legislative auditor's staff from information obtained from OWS staff.

Deliverables--Non-Traditional Training and Employment Program. According to OWS records, OWS provided non-traditional training to 30 participants at four sites in Alexandria, Baton Rouge, Lake Charles, and New Orleans from December 2000 through September 2001. Exhibit 4 on the following page illustrates each site's performance and the related OWS staff positions. The required performance for the indicator *Entered Employment in Non-Traditional Occupation (Non-Traditional Training)* is 85%. We found that OWS placed 87% (26) of their enrollees in jobs and 77% (23) completed the training. However, the number of enrollees, those completing training and those placed in jobs, is low. According to an OWS official, an enrollee does not need to complete training to be placed in a job. As a result, some enrollees got jobs without completing the training.

Exhibit 4 Non-Traditional Training--Fiscal Year 2001	
OWS Staff Per Site	Enrollment Per Site
Baton Rouge - 4 employees <ul style="list-style-type: none"> ▪ 1 Site Manager ▪ 1 Job Developer ▪ 1 Career Advisor ▪ 1 Instructor¹ 	4 enrollees <ul style="list-style-type: none"> ▪ 3 completed training ▪ 1 dropped out ▪ 4 placed in jobs*
Alexandria - 4 employees <ul style="list-style-type: none"> ▪ 1 Site Manager ▪ 1 Job Developer ▪ 1 Caseworker Assistant ▪ 1 Instructor 	0 enrollees
Lake Charles - 4 employees <ul style="list-style-type: none"> ▪ 1 Site Manager ▪ 1 Job Developer ▪ 1 Clerk Chief I ▪ 1 Instructor 	20 enrollees <ul style="list-style-type: none"> ▪ 19 completed ▪ 1 dropped out ▪ 20 placed in jobs*
New Orleans - 6 employees <ul style="list-style-type: none"> ▪ 1 Regional Manager ▪ 1 Job Developer ▪ 2 Career Advisors ▪ 1 Office Coordinator I ▪ 1 Instructor 	6 enrollees <ul style="list-style-type: none"> ▪ 1 completed ▪ 5 dropped out ▪ 2 placed in jobs*
Total OWS employee: 18	Total Enrollees: 30

¹According to the ISIS-HR database, this OWS instructor was classified as part-time.

*Participants do not have to complete training to be placed in jobs.

Source: Prepared by legislative auditor's staff from data obtained from OWS staff.

By the end of the fiscal year 2001 contract period, 30 OWS employees had trained a combined total of 90 computer/clerical and non-traditional training program enrollees (a staff/enrollee ratio of 1:3). Of the 90 enrollees, 79 (87%) completed training and 73 (81%) were placed in jobs.

According to an OWS official, the office spent approximately \$1,243,767 on training for fiscal year 2001. Dividing this amount by the 90 program enrollees puts the average cost of training at \$13,820 per enrolled participant and \$17,038 per placed participant. OWS had to reimburse LDOL \$132,000 for those trained who had Individual Training Accounts. Thus, all participants received training from the LDOL/OWS contract.

Salaries of those placed in jobs ranged from \$5.25 to \$11.50 per hour, which equates to a full-time gross salary of between \$10,920 and \$23,920. Many of the participants were placed in jobs at such establishments as Sears, Foot Locker, Wal-Mart, Casino Magic, Pop-a-Lock, and Pro Clean (i.e., laundromat). The average salary for all participants was \$7.45 per hour.

Recommendation 1: In addition to indicators relating only to employment and satisfaction ratios, future contracts should contain performance indicators that more comprehensively measure what services OWS will be responsible for providing. That is, indicators should reflect enrollment and graduation rate, as well as employment rate. For example, the Computer/Clerical Training and Employment Program should successfully train 200 enrollees under the current contract.

Recommendation 2: Future contracts should also include actual numbers for required performance. By including only percentages as measures of performance, the indicators conceal actual numbers of participants. For example, three out of four is 75% but so is 300 out of 400.

Were there any accounting/monitoring irregularities associated with the fiscal year 2001 LDOL/OWS contract?

Accounting Expenditures. We compared the 2001 LDOL/OWS contract budgeted categories to OWS' actual expenditures. We found that OWS spent more than the contract allowed in eight areas. Some of these areas include staff travel, communications, facilities rental, consumable office supplies, and instructional materials. Although no students were registered in the training programs for the first seven months of the 15-month LDOL contract, OWS managed to spend over \$7,000 above the contractual amount of \$4,000 for instructional materials. Exhibit 5 on the following page compares expenditures under the contract to actual expenditures.

Accounting Irregularities. We found no major accounting irregularities. However, we did find some questionable accounting practices that OWS used including the following:

- *Training Women Work! Louisiana Participants with WIA funds.* An OWS Training Program instructor's salary was reimbursed over \$860 from the WIA contract for two months of computer training provided to participants in the Women Work! Louisiana Program. However, according to the WIA contract, only computer/clerical and non-traditional participants are to be trained with WIA funds. Therefore, either the reimbursement request should have been reduced by this cost or the instructor should not have been allowed to train Women Work! participants since she was employed by the Training Program.

- *Termination Pay Paid with WIA funds.* WIA reimbursed OWS for over \$20,700 in termination pay for eight employees during the contract period. However, according to the WIA contract, only leave accrued during the contract period should be reimbursed by WIA funds. Therefore, only \$6,500 should have been reimbursed to OWS from WIA, which is a difference of over \$14,200. We are uncertain where the \$14,200 should have come from.

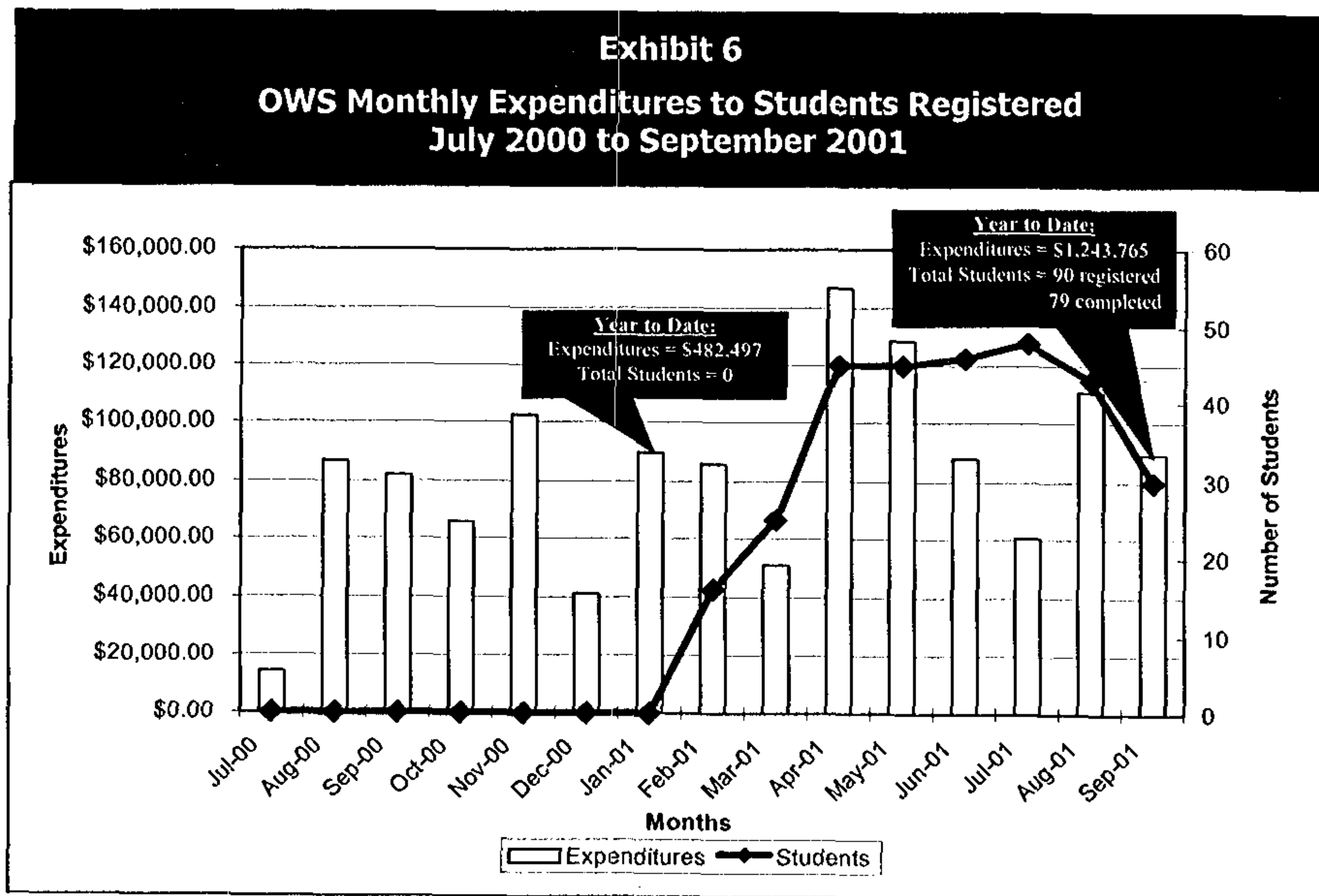
Exhibit 5 Comparison of Contract to Actual Expenditures July 2000 through September 2001					
Category	Contract Amount	Amount Spent	Difference	% of category spent	% of contract
Salaries & Benefits	\$885,733.00	\$876,763.21	\$8,969.79	99%	70.49%
Staff Travel	7,573.00	18,181.00	(10,608.00)	240%	1.46%
Communications	24,074.00	28,268.39	(4,194.39)	117%	2.27%
Facilities Rent	155,396.00	246,414.07	(91,018.07)	159%	19.81%
Postage	1,835.00	1,744.48	90.52	95%	0.14%
Printing	1,083.00	394.50	688.50	36%	0.03%
Consumable Office Supplies	12,016.00	19,567.27	(7,551.27)	163%	1.57%
Instructional Materials	4,000.00	11,712.84	(7,712.84)	293%	0.94%
Auto Maintenance (Vans)	20,000.00	300.50	19,699.50	2%	0.02%
Acquisition	2,000.00	1,554.00	446.00	78%	0.12%
Equipment (Lease)	16,185.00	16,894.73	(709.73)	104%	1.36%
Equipment Purchase	40,000.00	0	40,000.00	0%	0.00%
Advertising	3,230.00	2,333.76	896.24	72%	0.19%
Staff Training	5,000.00	3,517.34	1,482.66	70%	0.28%
Support Services (Stipend)	158,883.00	13,470.00	145,413.00	8%	1.08%
Professional Books, Dues, Subscriptions	2,000.00	2,173.68	(173.68)	109%	0.17%
Miscellaneous		474.97	(474.97)	0%	0.04%
Total	\$1,339,008.00	\$1,243,764.74	\$95,243.26		100.00%

Source: Prepared by legislative auditor's staff using OWS documents.

- *OWS spent money without any students.* Exhibit 6 shows that from July 2000 to January 2001, OWS spent over \$480,000 in training funds while it had no students enrolled in its training programs. Of the \$480,000, 74% was spent on salaries and benefits for approximately 30 staff employed at the six training sites.

OWS spent other funds prior to WIA contract execution. OWS did not receive a signed contract from LDOL until December 2000 for its fiscal year 2001 Training Program. OWS did not receive the actual WIA funding for that contract until February 2001. However, by February 2001, OWS had already spent over \$568,500 from other funding sources on its Training Program.

Recommendation 3: OWS should confirm with LDOL whether its use of WIA funds for training instructor pay and termination pay in fiscal year 2001 was proper.



Source: Prepared by legislative auditor's staff using OWS internal documents.

Monitoring activities. From our review of several LDOL monitoring reports, it appears that LDOL did not extensively monitor the quality of OWS' six program sites in fiscal year 2001. While LDOL did conduct an on-site visit at each training site, the monitoring reports prepared during those visits did not appear to extensively analyze program quality and outcomes or compliance with statutes and regulations. However, LDOL did comment on the low number of training enrollees across the state, which should have alerted officials to potential problems that resulted from this contract and others in the future. Furthermore, because of our time constraints on this audit, we did not have the time to consider the monitoring process in depth and are only highlighting an area that may warrant further consideration by LDOL.

It does appear that OWS subjected its programs to more extensive internal monitoring by management in fiscal year 2001. Through a system of weekly reports, conference calls, and monitoring reports prepared during site visits, OWS was able to keep abreast of what was going on at each training site.

Fiscal Year 2002 LDOL/OWS Contract

What is expected under the fiscal year 2002 LDOL/OWS contract?

The fiscal year 2002 LDOL/OWS contract is nine months in length, extending from October 1, 2001, through June 30, 2002. The deliverables and outcomes expected under the fiscal year 2002 contract include the following:

One-Stop Job Center Seminars and Workshops. In coordination with LDOL and the local Workforce Investment Areas (LWIAs), OWS will develop and deliver One-Stop Job Center seminars (1-3 hours) and workshops (4-6 hours) designed specifically for displaced homemakers and women who lack self-sufficiency. Examples of the workshops include interviewing skills, resumé development, job search techniques, and personal finance. The seminars/workshops will be based on local labor market information, the needs of the LWIAs, and current research on job seeking, job keeping, and transitions skills of the job seekers. According to the contract, a minimum of 750 individuals will be served.

Introductory Computer Training. OWS will provide introductory computer training (less than 40 hours) to LWIA Title I participants (co-enrolled with OWS) registered in intensive services and identified by the Title I program operator as needing to develop basic computer skills. These modules are designed to prepare individuals for employment, further training, or to assist them in obtaining skills needed to move up the career ladder into higher paying jobs. Examples of training provided include Microsoft Word 2000, Microsoft Excel 2000, and Microsoft Access 2000.

Non-Traditional Training and Employment Program. As a WIA Title I training service, a 12-week non-traditional training program will be offered at three OWS sites to LWIA Title I participants (co-enrolled with OWS) who are interested in careers in the building and trades industry and any other non-traditional job. This training uses a core curriculum developed by the National Center for Construction Education and Research. This curriculum consists of six modules: Math, Safety, Blueprints, Hand Tools, Power Tools, and Rigging. Each non-traditional training site will offer participants physical fitness classes and basic computer literacy as needed.

Clearinghouse Resources. As part of the One-Stop's core services, OWS will co-house staff in selected One-Stop Job Centers (e.g., Baton Rouge, Lafayette, New Orleans, Shreveport, Lake Charles, Alexandria, Monroe, and Houma). These staff persons, in addition to other OWS staff, will serve as advocate and clearinghouse for materials, web links, and other resources for displaced homemakers and women who lack self-sufficiency. OWS staff will also provide these individuals with non-traditional employment information, assist job seekers to select appropriate training, and assist in the placement and retention of women in appropriate employment opportunities.

One-Stop Job Center Staff Development. OWS staff will assist LWIA One-Stop operators with staff development in the LWIA areas where OWS is not located. OWS will provide One-Stop staff with the skills needed to deliver the appropriate seminars/workshops that OWS developed. A minimum of 20 training sessions for staff will be conducted statewide over the contract period.

Mentoring. OWS staff will provide mentoring, case management, and other post-employment services as appropriate and in conjunction with the LWIAs to all displaced homemakers and other women seeking assistance in obtaining self-sufficiency. Emphasis will be placed on assisting participants with growth and job retention. According to the contract, participant progress will be tracked for one year following exit from the WIA Title I program.

Reporting Requirements Under the Fiscal Year 2002 Contract. OWS staff will track participants at each site monthly by activity to ensure that allocated funds are being used to meet the purpose of the contract and the intent of WIA. At a minimum, this requirement includes sign-in sheets for all workshops and classes, showing names and Social Security numbers, and customer satisfaction forms as specified by LDOL. The OWS case manager, in conjunction with the LWIA case manager, will also track and document all training activities and services, workshops, placement, post-employment services, and follow-up services provided to the participants. OWS is also responsible for furnishing LDOL with monthly expenditure reports disclosing total monthly expenditures by line item.

Program Performance Under the Fiscal Year 2002 Contract. According to the fiscal year 2002 LDOL/OWS contract, OWS' performance must meet certain standards. Exhibit 7 on the following page presents these standards.

Exhibit 7 Performance Standards for Fiscal Year 2002 Contract		
Performance Standard	Computer Skills Enrichment	Non-Traditional
Number of Participants Served	200	60
Percentage of Participants Completing Training	43%	43%
Number of Participants Placed in Non-Traditional Jobs*	65%	65%
Number of Participants Retained in Non-Traditional Employment for 6 months*	80%	80%
Participant Customer Satisfaction	71%	71%

*While the performance standard is presented in terms of "number of participants," the performance requirement is presented in a percentage.

Source: Prepared by legislative auditor's staff using the fiscal year 2002 LDOL/OWS contract.

Our analysis of this contract yields the following concerns:

- Because there are only three non-traditional training sites, 60 participants averages out to 20 participants per site per year or six participants per 12-week class under the nine-month contract.
- Because there are only four computer training sites, 200 participants averages out to 50 participants per site per year. The training is only 40 hours (one week) in length, which equates to less than two participants per class under the nine-month contract.
- The performance standards for the number of participants completing training for both the Non-Traditional Training Program and the Computer Skills Enrichment Program are low. Only 43% of participants completing a training program seems less than satisfactory.
- A satisfaction rating of 71% means that almost one-third (29%) of customers are dissatisfied. With participants being able to select from other training providers, OWS may be at a disadvantage.

What has been delivered year to date (as of February 1, 2002) under the fiscal year 2002 LDOL/OWS contract?

The fiscal year 2002 contract allocation is \$1,285,440. General information regarding deliverables and expenditures under the contract for the Non-Traditional Training and Employment Program and Computer Skills Enrichment Program is as follows:

Expenditures	Total Number of Participants Enrolled	Average Cost of Training Per Enrolled Participant
\$433,195	54	\$8,022

Source: Prepared by legislative auditor's staff using information provided by OWS.

Exhibits 8 through 11 outline what OWS has delivered as of February 1, 2002, with regard to the programs and activities mandated by the 2002 LDOL/OWS contract. These programs include the Non-Traditional Training and Employment Program, the Computer Skills Enrichment Program, One-Stop Training/Staff Development Sessions, and the One-Stop Workshops.

Exhibit 8				
Non-Traditional Training and Employment Program				
Fiscal Year 2002 Contract Period (as of 02/01/02)				
Location	Current Enrollment	Enrollment YTD	Completions	Placements YTD
Baton Rouge	3	3	0	0
New Orleans	12	13	1	1
Lake Charles	5	5	0	0
Total	20	21	1	1
Source: Prepared by legislative auditor's staff using information provided by OWS.				

Exhibit 9				
Computer Skills Enrichment Program				
Fiscal Year 2002 Contract Period (as of 02/01/02)				
Location	Current Enrollment	Enrollment YTD	Completions	Placements YTD
Baton Rouge	1	2	1	0
Alexandria	0	23	23	5
Lafayette	4	4	0	1
Shreveport	4	4	0	0
Total	9	33	24	6
Source: Prepared by legislative auditor's staff using information provided by OWS.				

Exhibit 10
One-Stop Training/Staff Development Sessions
Fiscal Year 2002 Contract
(as of 02/01/02)

Location	Sessions Conducted YTD
Baton Rouge	12
New Orleans	0
Lake Charles	4
Alexandria	0
Lafayette	0
Shreveport	0
Total	16

Source: Prepared by legislative auditor's staff from information provided by OWS.

Exhibit 11
Participants Attending OWS One-Stop Workshops
Fiscal Year 2002 Contract
(as of 02/01/02)

Location	Participants YTD
Baton Rouge	58
New Orleans	12
Lake Charles	49
Alexandria	29
Lafayette	95
Shreveport	0
Total	243

Source: Prepared by legislative auditor's staff using information provided by OWS.

What projections can be made regarding OWS' performance under the LDOL/OWS contract for the end of fiscal year 2002?

During the audit, OWS' management was asked what procedures were put in place for the fiscal year 2002 contract period to ensure that problems encountered during the fiscal year 2001 contract period (e.g., low training numbers, low placement numbers, high average training/placement costs) did not happen again. According to the OWS' executive director, OWS can only follow the contract and take participants who are sent by the One-Stops. Therefore, no specific performance improvements can be implemented.

Assuming OWS' performance as of February 1, 2002, is indicative of future performance, we estimate that 121 participants (47 non-traditional and 74 computer participants) may be enrolled during the nine-month fiscal year 2002 contract period. Therefore, OWS will have enrolled approximately 14 people per month at a cost of \$8,055 per enrolled participant, which equates to approximately two people per training site per month. According to WIA regulations, training services, whether under ITAs or under contract, must be provided in a manner that maximizes informed consumer choice in selecting an eligible provider. Ultimately, the participant can choose from among many providers. OWS is only one of many training providers from which participants may choose.

Performance Indicators

Are OWS' performance indicators valid?

We determined that OWS' performance indicators prepared for fiscal years 2001 and 2002 are valid. The validity of a performance indicator is determined by whether it is suitable for its intended use. The factors that we used to gauge the validity of a performance indicator include whether it is relevant to the missions, goals, and objectives for the program and whether it can be linked to a major function of the program.

Are OWS' performance indicators consistent?

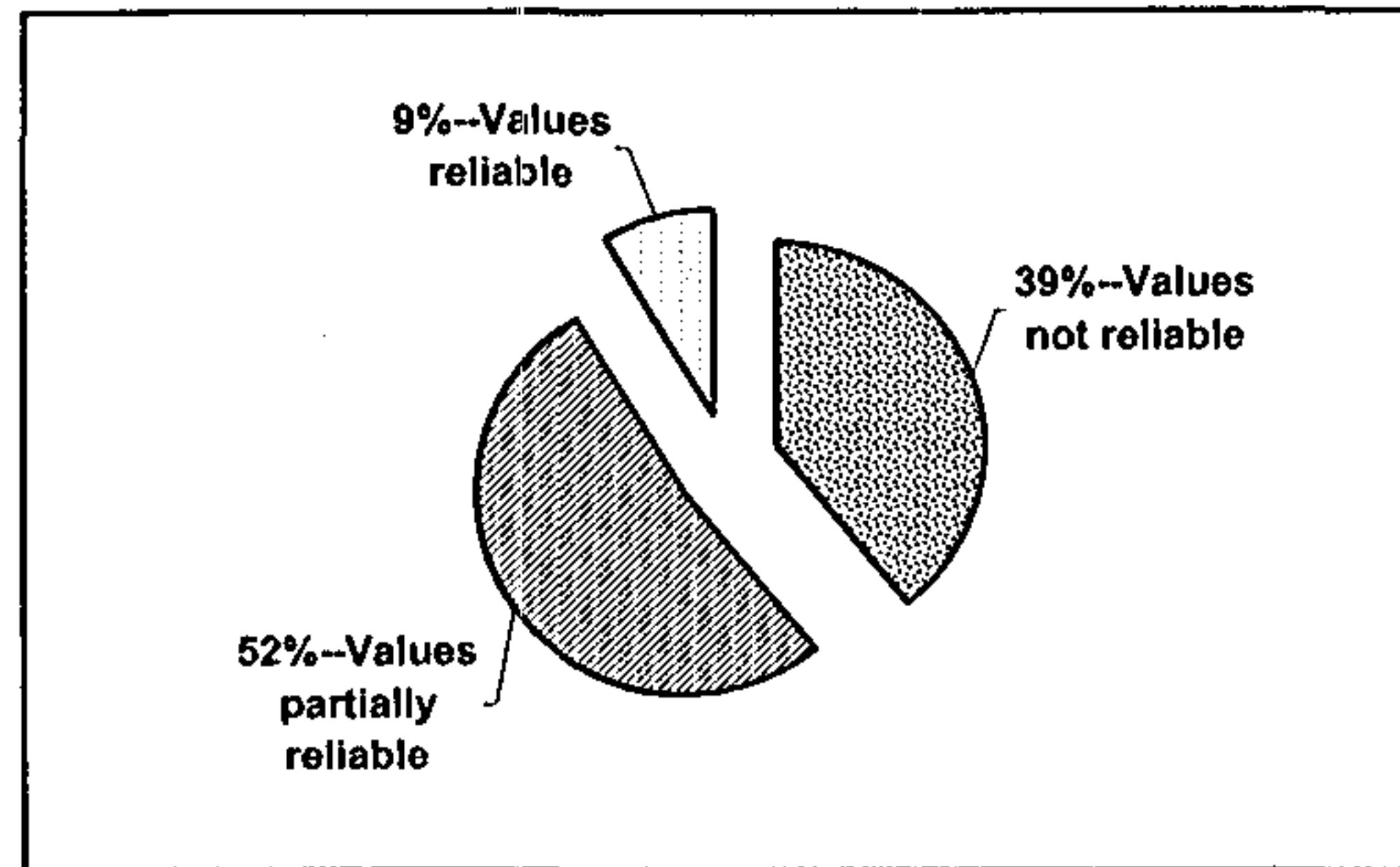
We determined that OWS' performance indicators for fiscal years 2000 through 2002 have not been consistently reported in the Louisiana Performance Accountability System (LaPAS). Only nine of 77 overall performance indicators (12%) have been consistently reported in LaPAS for all three fiscal years. Some performance indicators changed from "general" to "key" or "supporting" indicators during this time period. LaPAS does not generally contain "general" performance indicators. In addition, according to OWS' executive director, the Office of Planning and Budget may re-word performance indicators so that they are worded differently from year to year. We could not always tell which performance indicators were only re-worded. According to the Office of Planning and Budget's *Manageware* that guides the performance-based budgeting process, it is important to collect and report consistent data over time to gain a better understanding of a program's performance over time. In addition, the use of consistent indicators over time allows an agency to measure whether performance in certain areas has risen or fallen.

OWS creates performance indicators for its training programs each fiscal year based on the contracts that it will receive that fiscal year from LDOL. Because OWS receives different contracts each year, the associated performance indicators can also and usually do change on a yearly basis. For example, because of changes in federal regulations, the fiscal year 2000 OWS' training contract with LDOL was paid through the Job Training Partnership Act, but in fiscal year 2001, the training contract was paid through the Workforce Investment Act. In addition, most of OWS' objectives from fiscal year 1999 through fiscal year 2002, which the performance indicators must relate to, have dramatically changed. Because of frequent changes in the performance indicators reported by OWS, it is difficult to establish a trend of performance for the agency over time.

Are OWS' performance indicators reliable?

We found that nine of 23 performance indicator values (39%) reported in LaPAS for fiscal year 2001 were not reliable for any quarter in which they were reported. In addition, another 52% of the values were only partially reliable in the quarters that data were reported, as shown in Exhibit 12 on the following page. We defined the data reported by OWS as reliable if the number reported in LaPAS could be traced back to the source documentation on file at OWS.

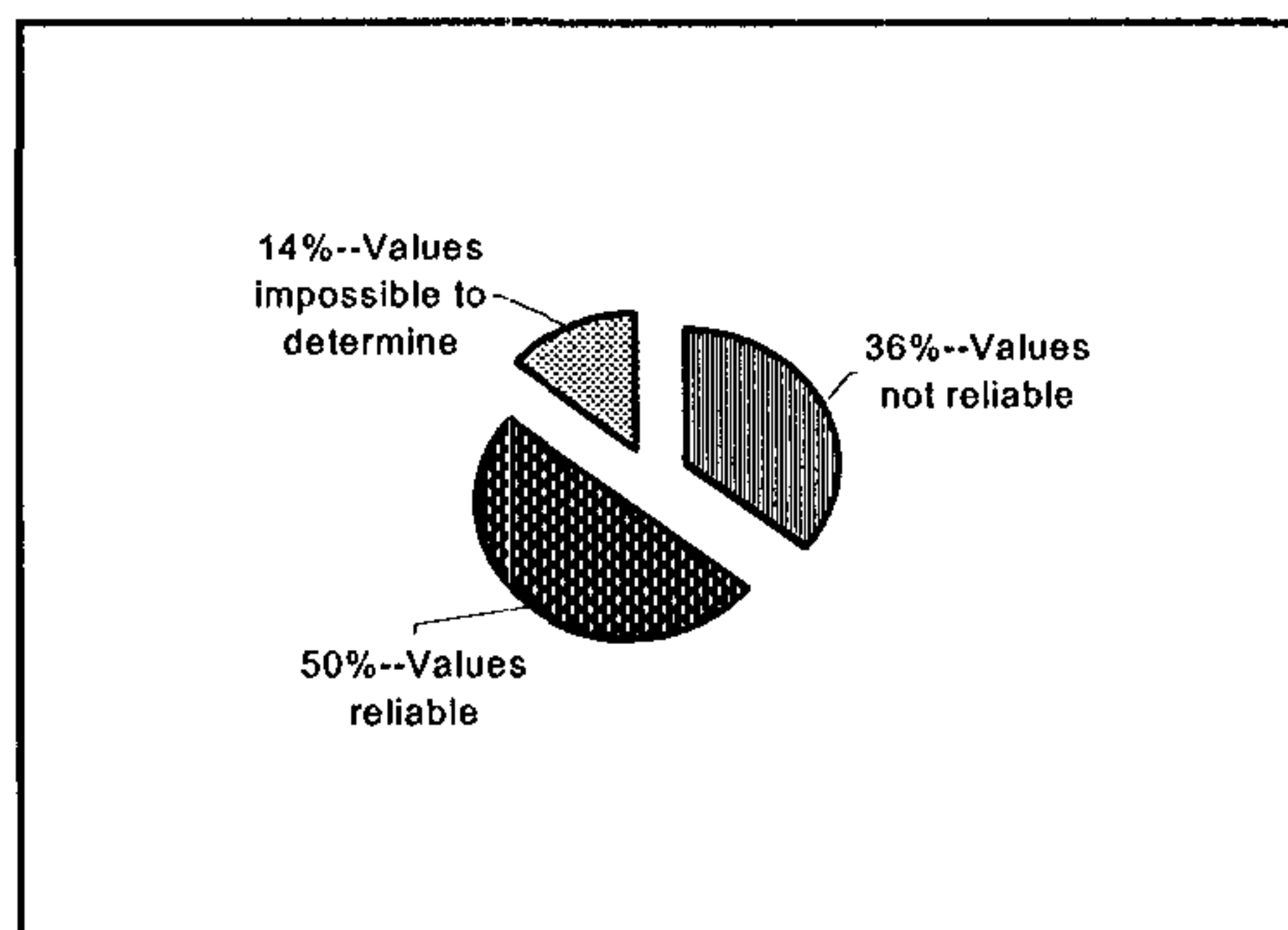
Exhibit 12
Reliability of OWS' Performance Indicator Values
Fiscal Year 2001



Source: Prepared by legislative auditor's staff using internal documents from OWS.

In fiscal year 2002, we found that 36% of the indicator values reported in LaPAS were not reliable in any quarter which they were reported, as shown in Exhibit 13 below. In addition, it was impossible to determine the reliability of 14% of the indicators reported.

Exhibit 13
Reliability of OWS' Performance Indicator Values
Fiscal Year 2002



Source: Prepared by legislative auditor's staff using internal documents from OWS.

R.S. 39:87.3 (A) states that each agency must provide the legislature with a series of reports on its actual progress toward performance goals. In addition, OPB's *Manageware* states that it is important for performance indicators to be based on accurate and reliable data that can stand up to an audit.

There appear to be many reasons why OWS has not reported reliable performance indicator values. First, OWS does not have a central employee preparing the calculations for each performance indicator value. Instead, each program manager calculates his/her program's indicators. Second, program managers are not exactly sure of how to calculate all of the indicators that they are responsible for. Third, the weekly and monthly reports used to prepare the quarterly performance values are kept in disarray and their accuracy and consistency are questionable. For example, in the Family Violence programs, the number of persons served included double counts because some persons may be housed in shelters for more than one month. In another example, our calculations of the number of placements for the Highway/Bridge Training Program differ from OWS' weekly reports for each quarter in fiscal year 2001 as follows:

Highway/Bridge Training Program		
Quarter (cumulative)	Reported in LaPAS	OLA Calculated
1	0	6
2	4	11
3	5	15
4	38	33

Fourth, there is no centralized database where all performance data can be kept and accessed each quarter. Finally, most of the performance data that OWS reported in LaPAS each quarter cannot be traced back to the source documentation that was used to prepare the values. As a result, OWS is reporting performance data each quarter that may not represent the agency's true performance.

Appendix A

Audit Scope and Methodology

Appendix A: Audit Scope and Methodology

This performance audit was conducted following the applicable generally accepted government auditing standards as promulgated by the Comptroller General of the United States.

Audit Scope

The audit focused on the fiscal year 2001 contract between the Louisiana Department of Labor (LDOL) and the Governor's Office of Women's Services (OWS) at the request of the Performance Review Subcommittee of the Joint Legislative Committee on the Budget. The performance indicator review focused on fiscal year 2001 and the first quarter of fiscal year 2002. We also addressed overall programs, services, and activities that OWS conducts. We answered specific questions contained in the Subcommittee's request.

Methodology

To determine what training programs and activities are currently provided by OWS, we performed the following:

- Interviewed OWS' executive director and staff and obtained and reviewed office literature
- Analyzed OWS' executive budget and supporting documentation for fiscal year 2002
- Researched OWS' Website for programs and services provided by the agency
- Obtained and reviewed contracts between OWS and other entities
- Reviewed the Workforce Investment Act of 1998 and related regulations
- Conducted a visit of the OWS Baton Rouge training site and toured the office and interviewed program officials regarding all programs conducted at that site

To determine whether there are any other agencies or entities that duplicate the programs and services provided by OWS, we performed the following:

- Reviewed the Department of Social Services, Department of Labor, Department of Health and Hospitals, Office of Public Health, Office of Elderly Affairs, and Department of Economic Development's Websites to find any programs or services that may be similar to those provided by OWS

- Interviewed OWS, LDOL, and One-Stop staff to determine the services provided by each
- Reviewed past Legislative Auditor reports to determine if any duplication of OWS' programs or services exists

To determine the events that led up to the execution of the fiscal year 2001 LDOL/OWS contract, we completed the following:

- Obtained correspondence from OWS, LDOL, and the Legislative Fiscal Office (LFO) on matters pertaining to OWS' training program and its contract with LDOL
- Prepared a timeline of events detailing the interactions between LDOL and OWS from August 1998 through January 2002 in relation to the LDOL/OWS contracts

To determine what was expected and delivered under the fiscal year 2001 LDOL/OWS contract, we completed the following:

- Reviewed the fiscal year 2001 LDOL/OWS contract and identified deliverables, outcomes, and performance standards stipulated by the contract
- Interviewed LDOL staff regarding fiscal year 2001 LDOL/OWS contract deliverables
- Conducted visits of both One-Stop Career Center sites in Baton Rouge and toured the facilities and interviewed officials regarding the One-Stop process and how this process relates to OWS
- Reviewed OWS spreadsheets detailing the Training and Employment Programs' displaced homemaker and ITA participants and job placements and also obtained information regarding dates of entrance/exit from the training programs and the type of jobs and salaries received
- Reviewed fiscal year 2001 performance data provided by the LFO and the performance indicators reported in LaPAS for fiscal year 2001
- Compared contract deliverables required by the fiscal year 2001 contract to OWS' actual performance in fiscal year 2001
- Reviewed current organizational charts and data from the state's human resources system of OWS during the 2001 contract period
- Determined the number of participants, completions, and placements in fiscal year 2001 from OWS documents and calculated the average hourly wage of the jobs in which OWS placed program participants

- Calculated the average expected yearly income of those participants placed in jobs, using a 40-hour workweek and 52-week year
- Calculated an average training cost per participants from fiscal year 2001 LDOL/OWS contract expenditures
- Compared training costs and salary expectations for participants

To determine if there were any accounting/monitoring irregularities associated with the fiscal year 2001 LDOL/OWS contract, we completed the following:

Contract Expenditures

- Compared the LDOL/OWS contractual amounts by category (e.g., salaries and benefits, travel, rent, etc.) for fiscal year 2001 to the actual expenditures made by OWS during the contract period

Potential Accounting Irregularities

- Reviewed OWS' accounting procedures for payroll and leases to determine if any misuse and/or fraud occurred
- Analyzed OWS' expenditures with WIA funds and any reimbursements to OWS from WIA funds
- Determined if the funds and staff were used for purposes other than those provided for in the contract by interviewing OWS staff
- Analyzed OWS' spending patterns in relation to the number of students enrolled in training programs from July 2000 to January 2001
- Traveled to the Alexandria, Baton Rouge, Lafayette, Lake Charles, and Shreveport training sites and interviewed instructors to determine what activities were done when no students were trained at their sites

Monitoring Activities

- Reviewed LDOL/OWS fiscal year 2001 contract to determine required monitoring processes
- Interviewed OWS management on its internal monitoring procedures
- Reviewed monitoring reports prepared by LDOL staff for fiscal year 2001 and also reviewed OWS internal monitoring reports prepared by the program manager for fiscal year 2001
- Reviewed 1997 and 2000 Performance Audit reports on LDOL contract monitoring practices

To determine what is expected under the fiscal year 2002 LDOL/OWS contract and what has been delivered as of February 1, 2002, we completed the following:

- Reviewed the LDOL/OWS contract for fiscal year 2002
- Analyzed the weekly reports as of February 1, 2002, sent to OWS by the Non-Traditional Training programs, the Computer Enrichment Skills Training programs, the Women Work! Louisiana programs, the Highway/Bridge Training Program, and the Medicaid Enrollment Program

To determine if any projections can be made regarding OWS' performance under the LDOL/OWS contract for the end of fiscal year 2002, we performed the following:

- Used weekly reports sent in from the training sites as of February 1, 2002, to determine performance in first four months of contract and to project potential future performance

To determine whether the performance indicator values reported by OWS in fiscal year 2001 and 2002 are valid, consistent, and reliable, we performed the following:

- Obtained the objectives and performance indicator values reported by OWS in the LaPAS for fiscal years 1999 through the first quarter of fiscal year 2002; analyzed changes in OWS' objectives and performance indicators during the four fiscal years; and established performance trends, based on consistent indicators, where possible
- Interviewed OWS management in relation to its performance reporting process and the calculations used to obtain quarterly indicator values
- Evaluated the management controls in place at OWS in relation to its performance indicator calculation, compilation, review, and entry into LaPAS
- Reviewed source documentation used to prepare performance indicator values and evaluated the competence and accuracy of the source documentation whenever possible
- Recalculated quarterly performance values for fiscal year 2001 and the first quarter of 2002 using the source documentation on file at OWS
- Compared recalculated values to the values reported by OWS in LaPAS to determine if any differences existed

Appendix B

Overview of Governor's Office of Women's Services' Services

Appendix B: Overview of Governor's Office of Women's Services' Services

The programs and activities that OWS conducts are described as follows:

Administrative Program. The Administrative Program is located in Baton Rouge. Program components include a fiscal unit, human resources, and program staff. The fiscal unit staff is responsible for activities related to billing, budget, inventory, internal controls, and contracts. Human resources is responsible for activities related to staffing, payroll, federal regulations, safety audits, and policies and procedures. The program staff is responsible for activities such as grant proposal development, oversight of all training programs, performance monitoring, and supervision of regional managers.

Women Work! Louisiana. The Women Work! Louisiana Program (formerly known as the Displaced Homemakers Program) is located in Baton Rouge, New Orleans, Shreveport, Lake Charles, Alexandria, and Lafayette. Participants include displaced homemakers. According to OWS personnel, a displaced homemaker is an individual who has experienced life changes due to divorce, disability, or death of a spouse. This program is funded through the state general fund.



While more like a seminar than an actual training program, the Women Work! Louisiana program provides participants with the following:

- A series of national workshops referred to as Survival Skills for Women that teach women day-to-day life skills. Topics covered during these workshops include Assertiveness, Personal Health, Nutrition, Money Management, Child Management, Self-Advocacy, Legal Rights, Coping with Crisis, and Community Resources
- A career center (e.g., assistance with resumés and job interview skills)

- Immediate job placement for individuals who do not have time for training
- Assistance in finding resources for enrollment in a graduate equivalency diploma (GED) program, technical college, junior college, or other training program
- Assistance with referrals for childcare assistance
- Information about available community resources

Medicaid Enrollment Program. The Medicaid Enrollment Program is located in Baton Rouge. This program assists women and the elderly (not just OWS program participants) with completing Medicaid enrollment forms. The Department of Health and Hospitals (DHH) reimburses OWS \$14 per application to cover program expenses such as supplies and a part-time employee's salary.

Family Violence Program. The Family Violence Program is administered in Baton Rouge. According to the executive director, OWS is the repository for both state and federal family violence monies. OWS allocates approximately 95% of all family violence money to the service providers and 5% for its own administrative purposes.

OWS currently contracts with 19 community-based family violence organizations in Louisiana. These organizations deliver services to domestic violence victims and their children across the state. OWS' responsibilities with regard to the Family Violence Program are as follows:

- Review Family Violence Program providers' solicitation for offers every two years and their proposals annually
- Establish the review committee that makes recommendations to OWS regarding program funding
- Create the Quality Assurance standards for Family Violence programs statewide. OWS created the Committee on Quality Assurance (COQA) to come up with standards by which all Family Violence Program providers must adhere
- Arrange peer review teams with providers to perform site visits and monitor all Family Violence programs
- Oversee the site visits/monitoring of Family Violence programs and ensure that each program is monitored every two years

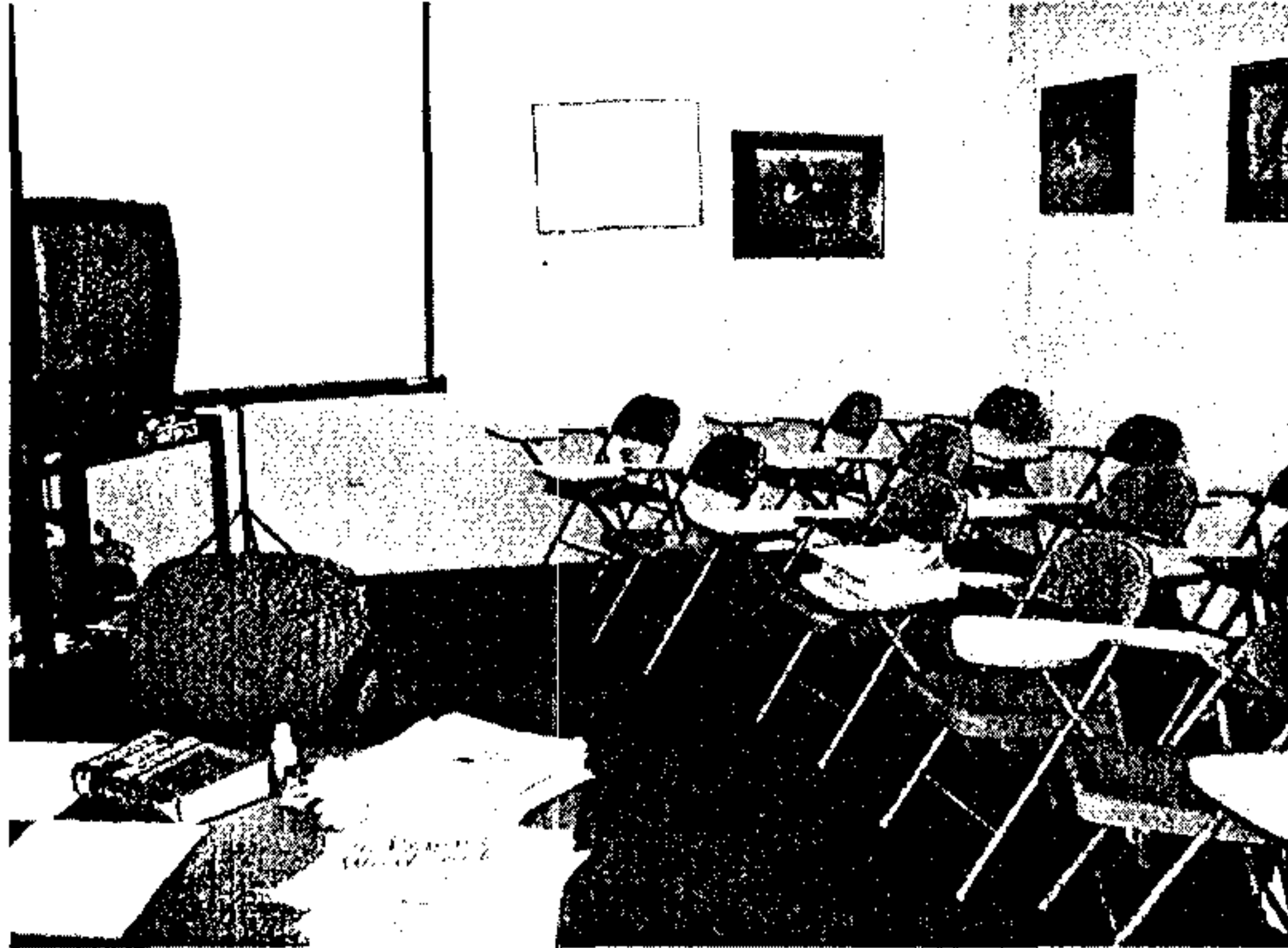
TANF - Family Violence. The TANF - Family Violence Program is a new program for fiscal year 2002 and is administered in Baton Rouge. With the federal TANF money allocated for family violence, OWS funds two programs, which are as follows:

1. The Children's Services Project provides services for the children of battered women.
2. An OWS partnership with a statewide non-profit group called the Louisiana Coalition Against Domestic Violence (LCADV) provides the following:
 - Law enforcement training teaches law enforcement personnel how to deal with domestic violence calls.
 - DSS worker training helps DSS personnel identify battered women.
 - Rural projects establish domestic violence programs in rural areas that will stay in place once TANF dollars are gone.

TANF-Microenterprise. The TANF-Microenterprise Program is a new program for fiscal year 2002 and is administered in Baton Rouge. This program provides grants to assist eligible applicants in starting up their own businesses (e.g., landscaping business). These grants range from \$250 - \$25,000. OWS is currently contracting with 14 community-based organizations to create microenterprises in their areas. OWS responsibilities with regard to the TANF-Microenterprise Program are as follows:

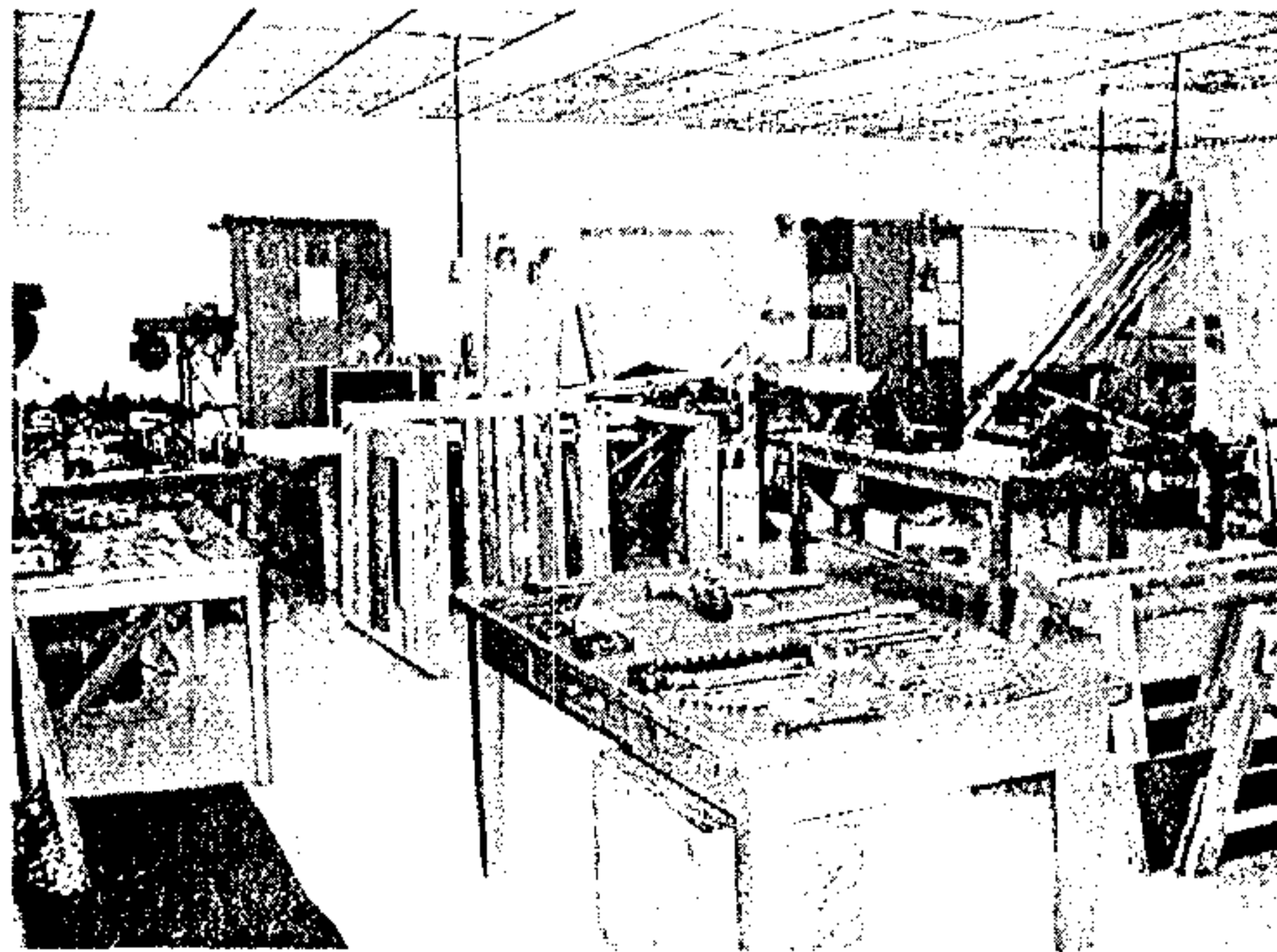
- Arrange a review committee that makes recommendations with regard to program funding, based on solicitation for offers
- Award contracts
- Bring in a national trainer for awardees
- Provide awardees with technical assistance

Highway/Bridge Training and Employment Program. The Highway/Bridge Program is located in Baton Rouge. According to OWS, all areas of the state are served by this office and instruction has been provided in such places as Winnsboro. The purpose of this program is to train women and minorities to work in highway/bridge construction jobs. It is funded through a contract between OWS and the Department of Transportation and Development. The program is eight to nine weeks in length. It includes four to five weeks of classroom work and four weeks of on-the-job-training. According to program personnel, participants in this program are trained for jobs in the construction industry paying up to \$20/hour.



OWS recruits participants for the Highway/Bridge Program by giving presentations at housing authorities, community centers, job fairs, job services centers, food stamp offices, and city council meetings. They also hand out flyers (e.g., at Wal-Mart stores). According to the OWS executive director, only six other such programs in the country are designed to get women and minorities into the construction industry.

Non-Traditional Training and Employment Program. The Non-Traditional Training and Employment Program is located in Baton Rouge, New Orleans, and Lake Charles. This program provides training in the areas of electricity, plumbing, blueprint reading, carpentry, and electronics. Staff also provide workshops on safety and sexual harassment.



In addition to non-traditional training, this program also provides Destination Training and Employability Training. Destination Training helps participants improve their math and reading skills. Employability Training teaches participants such things as interviewing skills and how to dress. This program is funded through a contract between OWS and LDOL.

Computer Skills Enrichment Program. Under the fiscal year 2002 LDOL/OWS contract, the Computer Skills Enrichment Program is located in Baton Rouge, Alexandria, Lafayette, and Shreveport. This program provides 40 hours of introductory computer training. Examples of software taught during this training include Microsoft Word 2000, Microsoft Excel 2000, and Microsoft Access 2000. Under the fiscal year 2001 LDOL/OWS contract, this program was the Computer/Clerical Training Program.

One-Stop Career Center Workshops. Under the LDOL/OWS fiscal year 2002 contract, OWS staff develops and delivers One-Stop Career Center life skills/job readiness seminars (1-3 hours) and workshops (4-6 hours) for displaced homemakers and women who lack self-sufficiency. Examples of these workshops include job search techniques, interviewing skills, and resumé development. OWS staff provides these workshops at the One-Stop Career Centers located in Baton Rouge, Shreveport, Lake Charles, Alexandria, Lafayette, and New Orleans. One-Stop Career Centers (under LDOL) provide employers assistance in finding employees and job seekers assistance in finding employment.

One-Stop Career Staff Development and Training Sessions. Under the LDOL/OWS fiscal year 2002 contract, OWS staff assists One-Stop operators with staff development in the areas where OWS is not located. This arrangement allows One-Stop Center employees to deliver the seminars/workshops that are otherwise conducted by OWS.

Clearinghouse. Under the LDOL/OWS fiscal year 2002 contract, OWS staff serves as a clearinghouse for materials, web links, and other resources for displaced homemakers and other women seeking assistance in obtaining self-sufficiency. OWS provides these individuals with non-traditional employment information, assists job seekers to select appropriate training, and assists in the placement and retention of women in appropriate employment opportunities.

Appendix C

Chronology of Events

Appendix C: Chronology of Events

August 1998	President Clinton signed the Workforce Investment Act of 1998 (WIA). WIA altered the way training programs operated.
October 1998	The Louisiana Workforce Commission convened a state level interagency team to develop a unified plan for the workforce development system. Implementation for WIA was scheduled for July 1, 2000. (In April 1999, interim federal regulations for WIA were published.)
March 2000	The final plan was submitted to the Louisiana Workforce Commission. OWS conducted meetings and made attempts to get advice from LDOL.
May 2000	OWS submitted WIA proposal to LDOL. According to officials at LDOL, they told OWS officials on May 11, 2000, that WIA providers will not be permitted to recruit and train. Also, the LDOL official said that no one (from LDOL) studied the proposal in detail. However, an OWS official stated that no such notification took place.
June 2000	<p>The OWS executive director stated that on June 18, 2000, she received notification from an LDOL employee by phone that OWS would be trainers, funding would be cut by 33%, and OWS would be able to accept Individual Training Accounts (ITAs).</p> <p>The OWS executive director sent a letter (dated June 21, 2000) to the secretary of LDOL requesting better funding.</p> <p>According to the OWS executive director, on June 27, 2000, LDOL notified her at a meeting that OWS would not be allowed to recruit and train.</p>
July 2000	OWS requested permission to enter into a partnership with Associated Building Contractors (ABC). The partnership was intended to provide better, cost effective, comprehensive training for participants in OWS non-traditional training and employment programs.

August 2000

According to an OWS official, OWS was notified of the following by LDOL at a meeting on August 4, 2000:

- LDOL would not recommend OWS for funding as training providers.
- OWS could not partner or contract with ABC.
- OWS would not be allowed to accept ITAs.

On August 9, 2000, the OWS executive director sent a letter to the executive director of the Governor's Office of Community Programs to seek assistance in negotiating with LDOL secretary and assistant secretary.

On August 18, 2000, the commissioner of administration sent a letter to LDOL secretary directing LDOL to fund OWS "... at the level it has in the past." The commissioner also stated that a transition plan between LDOL and OWS should be developed "... well in advance of the beginning of the next fiscal year" (if LDOL expected OWS to change its type of service).

On August 25, 2000, LDOL offered OWS two options: to provide core services through the One-Stop System (e.g., recruiting and consulting) or to provide training services but not core or intensive service as provided by the One-Stops.

The OWS executive director sent a letter (dated August 29, 2000) to the LDOL assistant secretary notifying LDOL that OWS wanted to be funded as trainers.

September 2000

In a letter dated September 7, 2000, the LDOL Secretary notified the commissioner of administration that OWS would be funded as a trainer. The letter mentions that WIA 1998 narrowed OWS' scope of services and the eligible population and led to a cut in funding; however, these changes would not impact OWS' ability to provide services. Also, the LDOL secretary stated that OWS' delay in choosing a service option caused LDOL to delay drafting the contract.

The OWS executive director sent the commissioner of administration a letter (dated September 18, 2000) that refuted several points made to the commissioner by the LDOL secretary concerning OWS.

- November 2000** On November 20, 2000, the LDOL secretary and the OWS executive director signed the \$1,339,000 WIA contract to cover the period July 1, 2000, through June 30, 2001.
- January 2001** In a letter dated January 22, 2001, sent to the LDOL assistant secretary, the OWS executive director requested to use money budgeted in salary line item to hire van drivers to transport program participants who live outside of parishes where training sites were located to and from training sites.
- In a letter dated January 24, 2001, the LDOL assistant secretary approved OWS' request to hire van drivers.
- February 2001** In a memo dated February 21, 2001, the OWS executive director requested permission from LDOL to move \$35,988 from support services in order to purchase furniture and upgrade computers for some of the training and employment programs. According to the memo, OWS had \$40,000 that could be used toward these purchases, but it needed the additional funds to complete the transaction.
- March 2001** In March 2001, an LDOL representative conducted monitoring reviews of OWS and completed all of the OWS' offices on March 29, 2001.
- April 2001** In a letter dated April 24, 2001, LDOL denied OWS' request for the purchase of computers and furniture because of low enrollment and short time left in the contract (less than three months).
- May 2001** In a letter dated May 8, 2001, OWS requested permission from LDOL to change the Alexandria office from a non-traditional curriculum to clerical training.
- In a separate letter dated May 8, 2001, OWS responded to the denial of its computers and furniture request. OWS stated that the low enrollment was due to operational problems at the One Stops. OWS also stated that the short time left in the contract was due to the three months that it took LDOL to respond to the request.
- June 2001** On June 6, 2001, the OWS/LDOL fiscal year 2001 contract was extended through September 2001.

- October 2001** On October 26, 2001, the Legislative Fiscal Office discussed OWS' performance at the Performance Review Subcommittee meeting.
- On October 31, 2001, the LDOL/OWS contract was renewed in the amount of \$1,285,440 for the nine month period October 1, 2001, through June 30, 2002.
- November 2001** On November 16, 2001, OWS sent a check for \$132,000 to reimburse LDOL for money spent on ITAs (55 x \$2,400) under the 2001 contract.
- January 2002** On January 2, 2002, LDOL deposited the check from OWS.

Appendix D

Governor's Office of Women's Services' Response



M. J. "MIKE" FOSTER, JR.
GOVERNOR

State of Louisiana
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VERA CLAY
EXECUTIVE DIRECTOR

March 13, 2002

Daniel G. Kyle, Ph.D., CPA, CFE
Legislative Auditor
1600 North Third Street
P. O. Box 94397
Baton Rouge, Louisiana 70804-9397

Dear Dr. Kyle:

I thank you for the opportunity to respond to the audit of the Office of Women's Services (OWS) prepared by your office. While the OWS does not agree with all of your findings, I want to commend your staff for their knowledge, professionalism, courtesy and due diligence. Their desire for fairness and accuracy is refreshing.

Unfortunately, due to time constraints, we do not feel that your staff was able to adequately understand our work and inspect **all** needed documents to determine accurately OWS performance. **Accuracy requires a thoughtful collection and studied look at every piece of data associated with a project or program.** That did not happen. Every number or percentage reported in LAPAS can be supported by documentation available at the OWS Administrative Office.

Nonetheless, we do not consider this an adversarial situation or relationship. We have learned from your staff's presence in our office and will use what we learn to create a better agency. Our thanks are extended to you and them.

Duplication of Services

1. While OWS, technical and proprietary colleges provide non-traditional and computer/clerical training, OWS offers additional services within the OWS training programs to assist a special population -- women who are often in need, moving from welfare-to work or are part of the working poor population. The following additions to the OWS program are not offered at the technical and proprietary colleges:

- a. Short term, 3 month training
- b. \$10 a day stipend based on attendance.
- c. Assistance with securing childcare and transportation
- d. Soft skills dealing with work ethic, interviewing skills, resume writing, keeping a job, advancing on a job, etc.
- e. Employability Skills software
- f. Destinations 2000, Math and Reading remediation software
- g. SAGE assessment (unable to use under WIA)

- h. Mentoring
 - i. Industry Advisory Boards in every city having an OWS program to give guidance and direction on curriculum, business trends, job openings, etc.
 - j. OWS Industry Advisory Board Fund allows participants up to \$300 for steel-toed boots; job uniforms; tools; special union dues; OSHA cards; tuition for additional training, etc.
 - k. Job placement after training with an historical 80% placement rate.
2. Although some One Stops offer services that OWS provides, only OWS caters these services – workshops, staff development, resource and referral -- to a special population, women. We gear this information to the needs of that special population
 3. DHH changed their scope of service in 1992 to include Medical Enrollment Centers. This program is a contract service we provide to DHH. OWS is not the only agency that contracts with DHH to provide this service. There are Medicaid Enrollment Centers throughout the State of Louisiana. DHH developed these centers/contracts as a cost saving measure for their agency. DHH targeted our program because we are across the street from their main office and this scenario was ideal for their clients because clients could receive faster service as the OWS office is across the street.
 4. OWS has been providing family violence funds to community based programs since the mid 1980s, longer than LCLE and DSS. Only OWS has established uniform standards to ensure top quality services to battered women and their children. OWS requires that shelters and non residential programs have both fire and health inspections every year. The OWS has been identified by the U.S. Department of Health and Human Services as the major funder of federal money for family violence programs and funnels that money through this agency. The OWS standards and monitoring process are a best practice and recognized by U.S. Dept. of Health and Human Services. So much that they are considering funding the OWS process next year. Federal money received by LCLE and DSS is really in a different category and not specifically designated for family violence, although that money can be used for battered women. The scope of LCLE's work and the work of DSS in this area is different and unique from the work done at OWS for Family Violence programs.

Expectations and Deliverables Under the Fiscal Year 2001 LDOL/OWS Contract

5. The OWS concurs with the enrollee costs and job placement costs stated in the audit. We would add that based on the numbers given, the OWS has an 81% job placement rate.
6. A complete list of jobs that the OWS secured during 2000-01 includes: Medical Clerk; Customer Service Representative; Medical Billing Specialist; Assistant Manager at Foot Locker; Hole Watcher at \$9.00 per hr.; Data Entry Clerk;

Receiving Clerk; Distribution Clerk; Cashier; Branch Office Administrator; Secretary; Bookkeeper; Accounting Clerk; Administrative Office Clerk; Receiving Schedule Clerk; Collector; Construction with Roofing Company; Utility Worker; Security Guard; Line Assembler; Electronics Assembler; Bank Teller; Administrative Secretary Electrical Helper; Bumper Puller; Patient Billing Clerk; Receptionist; News Writer; Fire Watcher; Construction Laborer; Data Processor; Day Care Attendant.

Accounting and Monitoring Irregularities with the Fiscal Year 2001 LDOL/OWS contract

7. The instructor did indeed mistakenly teach in another program for a short period of time while awaiting participants for the Training & Employment program. After this was called to the attention of OWS administration by the Legislative Auditor' staff person, the OWS Program Manager called the instructor who informed OWS management that she only did this for part of her day for a month. She did this without permission.
8. The OWS employees receiving termination pay were employees paid under the LDOL contract. How was OWS to reimburse these employees if not from the LDOL contract? This practice had been occurring since OWS and LDOL began contracting almost 20 years ago. LDOL has never denied the reimbursement.
9. Because the OWS had been informed in August, 2000 that the training services would continue, and that the One Stops (which were to refer participants to the OWS programs) were operational, OWS retained staff. However, when staff resigned from the training and employment programs, OWS did not hire until there were participants in the programs. The OWS assumed that participants would be sent from the One Stops at any time. How could we disband a staff if the indications were that participants were on the way? As an indication of OWS prudence with regard to salaries and staff, the budgeted amount for the 12 month period of the LDOL/OWS contract was still not expended at the end of the 15 month contract.

Deliverables Under the Fiscal Year 2002 LDOL/OWS Contract

10. As of March 8, 2002, the following performance has been recorded and verified with regard to the LDOL/OWS contract for FY 2001-02:

One-Stop Training/Staff Development Sessions Fiscal Year 2002 Contract Period (as of 03/08/02)	
Location	Sessions conducted
Baton Rouge	12
New Orleans	0
Lake Charles	5
Alexandria	0
Lafayette	3
Shreveport	2
TOTAL	22
GOAL	20

Participants Attending One-Stop Workshops Provided by OWS Fiscal Year 2002 Contract Period (as of 03/08/02)	
Location Providing the Workshops	# Participants YTD
Baton Rouge	141
New Orleans	63
Lake Charles	130
Alexandria	36
Lafayette	119
Shreveport	13
TOTAL:	502
GOAL:	750

Computer Skills Enrichment Program Fiscal Year 2002 Contract Period (as of 03/08/02)				
Location	# Participants Currently Enrolled	# Participants Enrolled YTD	# Participants Completing Training YTD	# Participants Placed YTD
Baton Rouge	0	3	1	0
Alexandria	2	25	25	10
Lafayette	5	9	2	2
Shreveport	5	5	0	0
TOTAL:	12	42	27	12

Non-Traditional Training and Employment Program Fiscal Year 2002 Contract Period (as of 03/08/02)				
Location	# Participants Currently Enrolled	# Participants Enrolled YTD	# Participants Completing Training YTD	# Participants Placed YTD
Baton Rouge	3	3	0	0
New Orleans	14	14	1	1
Lake Charles	11	11	0	0
TOTAL:	28	28	1	1

Performance Indicators as Reported In LAPAS

Performance indicators in all programs with the exception of Training & Employment have been consistent. Please see the following charts with regard to **CONSISTENCY OF PERFORMANCE INDICATORS**.

OWS Administrative

	1998-1999	1999-2000	2000-2001	2001-2002
Percentage increase in total budget through public, private and nonprofit funding streams	*	SAME	SAME	Dropped in agreement with OPB. Not good indicator.
Number of solicitation letters, interagency agreements, grant proposals and contracts submitted for funding	*	SAME	SAME	Dropped in agreement with OPB. Not good indicator.
Number of solicitation letters, interagency agreements, grant proposals and contracts submitted that are funded	*	SAME	SAME	Dropped in agreement with OPB. Not good indicator.
Percentage of contractors/partners who rate the agency positively when surveyed or when responding in a focus group	*	SAME	SAME	SAME
Percentage of participants or recipients of services who rate the agency positively when surveyed or when responding in a focus group	*	SAME	SAME	SAME
Percentage of returned employee surveys reporting positive ratings for the agency	*	SAME	SAME	SAME
Women's Commission-Percentage of Strategic Plan completed	*	SAME	Plan completed. Indicator no longer needed.	

*LAPAS does not show Administrative Indicators for the FY 1998-1999. Strategic Plan completed in July 1998 with objectives and indicators. These were tracked and documented. No mechanism to modify LAPAS under these circumstances.

OWS Family Violence Programs

	1998-1999	1999-2000	2000-2001	2001-2002
Number of women sheltered	Same	Same	Same	Same
Number of children sheltered	Same	Same	Same	Same
Number of non-residential women served	Same	Same	Same	Same
Number of non-residential children served	Same	Same	Same	Same
Number of non-residential abusers	Same	* ¹	* ¹	* ¹
Number of contracts awarded			* ²	Same

*¹Indicator no longer reported in LAPAS, although data is collected.

*²Revised strategic plan-added this indicator.

OWS Displaced Homemaker Programs

	1998-1999	1999-2000	2000-2001	2001-2002
Number of participants completing survival skills training	*	Same	Same	Same
Number of participants placed in jobs	*	Same	Same	Same
Number of participants entering job training program	*	Same	Same	Same
Number of participants entering a GED, Vo-Tech, Junior College or College	*	Same	Same	Same
Number of Participants using Career Center	*	Same	Same	Same

* '98-'99 old program design with different indicators.

OWS Training & Employment Programs

Highway and Bridge

	1998-1999	1999-2000	2000-2001	2001-2002
Placement rate	*	Same		
Number of enrollees	*	Same	Same	Same
Number of placements	*	Same	Same	Same

*Program did not start until '99-'00

OWS TRAINING AND EMPLOYMENT-

Computer Clerical

	1998-1999	1999-2000	2000-2001	2001-2002
Number of computer clerical enrollees	Same	Same	Changed w/WIA	Changed w/WIA
Number of computer clerical participants	Same	Same	Changed w/WIA	Changed w/WIA
Number of non-traditional enrollees	Same	Same	Changed w/WIA	Changed w/WIA
Number of non-traditional placements	Same	Same	Changed w/WIA	Changed w/WIA

Auditor's Statement: Consistent performance indicators: only 4 consistent over 4 fiscal years.

OWS Response:

Data:

- ▶**Admin:** Consistent over 3 years. The only change was 2001-02 when OPB and OWS agreed to drop 3 indicators as not giving valid data
- ▶**DH:** Consistent over 3 years (99-2002) after program redesign
- ▶**TE/Highway Bridge:** Consistent over 3 years---since program began
- ▶**FV:** Consistent over 4 years
- ▶**TE:** Consistent for 2 years, changed indicators due to change in funding.

OWS was gathering consistent data over time. Three of the four major OWS programs---DH, Admin, Highway Bridge--have had consistent performance indicators over THREE YEARS from 99-2002. Three years because: Highway Bridge did not start till 99-2000.

DH program redesign happened in 98-99; consistent thereafter. Training and Employment program consistent from 98-2000. Major change in program funding required new indicators for 2000-02.

Auditor's Statement: Indicators changed from "general" to "key" or "supporting" during this time.

OWS Response:

Data: Over 4 years, Key indicators STAYED key for DH, Highway Bridge, Admin, and FV. Supporting indicators STAYED supporting for FV and Admin. "General" performance indicators were ADDED IN 2001-02 by OPB FOR THE FIRST TIME for FV (number of contracts) and T/E (to capture data from 98-2000 before the funding requirements changed). When we questioned OPB, they said they were adding these.

OWS did not change indicators from Key to Supporting or General. Over four years, key indicators stayed key, supporting stayed supporting. General performance indicators were ADDED by OPB in 2001-02 in two instances. We were collecting and reporting consistent data over time except in the few cases cited.

Auditor's Statement: Creates performance indicators each fiscal year based on contracts received.

OWS Response: Performance indicators HAVE NOT CHANGED EACH FISCAL YEAR, with the exception of indicators based on LDOL contract. Admin, FV, DH, Highway Bridge have remained constant over a continuous three-year period.

Auditor's Statement: Most of OWS objectives have dramatically changed.

OWS Response: This is true only for the Training and Employment program (2000-02) and Displaced Homemakers (changed between 99-2000, not since.) The majority of OWS objectives did not change---and if there was any change, it would be to capture in the objective the actual indicator to be achieved that particular year.

Values for Fiscal Year 2001 Performance Indicators

RELIABILITY OF PERFORMANCE INDICATORS

A. OWS Programs - The following is a description of the system that was developed in order to track performance:

1. A participant enters an OWS program.
2. A Case Record file is started with all appropriate information.
3. The participant's pertinent information is entered into a data base at the program site. The data base is updated weekly.
4. A Weekly Report from each program is faxed to the Administrative Office every Friday before noon with updates on numbers of individuals served.
5. The Weekly Reports are kept in binders at the Administrative Office. Binders with Weekly Reports go back to Fiscal Year 98-99.
6. At the end of each quarter, numbers are pulled from the Weekly Reports in order to enter information into the LAPAS.

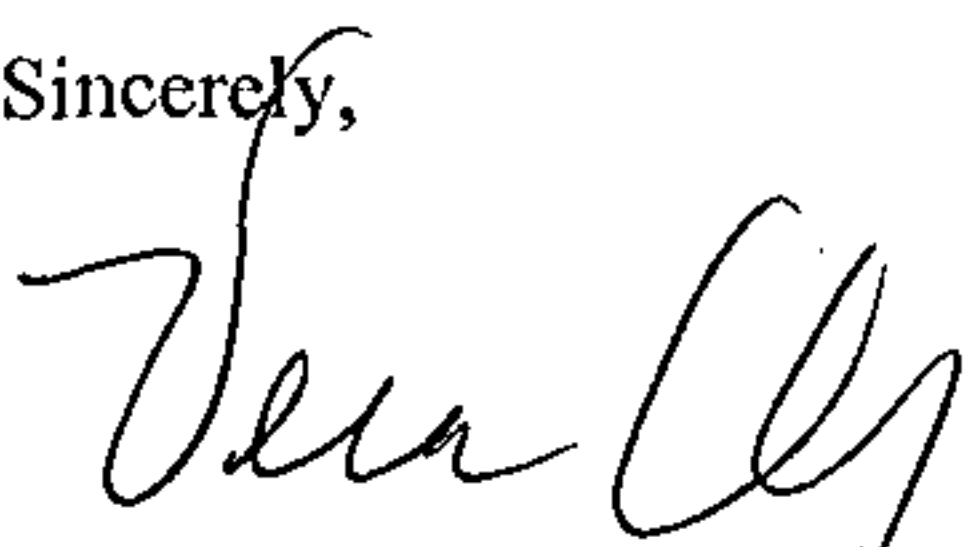
7. At the end of each Fiscal Year, each program must submit their data bases to the Administrative Office only after each name on the data base is checked against a Case Record file. The number of names on the data base must match the number of participants in each weekly report in every particular category.
8. After that check is done and everything is in alignment (Case Record files, Weekly Report numbers and Data Base names and numbers), that data base is sent to the OWS Administrative Office and kept on file.

In addition to this tracking system, the OWS Program Manager travels to programs for monitoring at least twice a year. The Executive Director also travels to programs twice a year. In the past, representatives from the Fiscal Unit and Human Resource Unit have traveled to each program in the state.

The Legislative Auditor's office did not check the Data Base names and numbers located in the Administrative Office against the numbers accrued in the Weekly Reports also on file at the OWS Administrative Office. Nor did the Legislative Auditor's Office check Case Record files at the programs. Had they done so, they would have seen that the names and numbers match the entries that we have made to LAPAS.

B. Family Violence – Programs report numbers of women and children served. If a woman and her children have a stay/services that extend over a 45 day period, they will be reported for two successive months. But, they are receiving services during this period. They stay on as a “carryover” in the official count kept by the OWS in the FV data base. This is a valid way of reporting the data. We will make extensive notes in LAPAS as to what the numbers represent – they are both “new” and “carryover”.

Sincerely,



Vera Clay, Executive Director
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Legs.aud